



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/772,842	02/04/2004	Haruo Tanaka	10233.104USD2	5983

7590 07/21/2006

HAMRE, SCHUMANN, MUELLER & LARSON P.C.
P.O. BOX 2902-0902
MINNEAPOLIS, MN 55402

EXAMINER

MONDT, JOHANNES P

ART UNIT	PAPER NUMBER
----------	--------------

3663

DATE MAILED: 07/21/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/772,842

Applicant(s)

TANAKA ET AL.

Examiner

Johannes P. Mondt

Art Unit

3663

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 01 May 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 7-14, 16-102, 104, 105, 107, 108 and 110-121 is/are pending in the application.
- 4a) Of the above claim(s) 10-13, 17-102, 104, 105, 107, 108 and 110-121 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 7-9, 14 and 16 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
- 1) ☐ Certified copies of the priority documents have been received.
 - 2) ☒ Certified copies of the priority documents have been received in Application No. 09/421,022.
 - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Response to Amendment

Amendment filed 5/1/06 forms the basis for this office action. In said Amendment applicants substantially amended all pending elected claims 7, 8, 9, 14 and 16.

Comments on Remarks are included below under "Response to Arguments".

Information Disclosure Statement

The examiner previously made of record through submission of PTO-1499 that the Information Disclosure Statement filed 2/4/04 has been considered (see office action mailed 10/27/05, page 2. An identical copy of said Information Disclosure Statement has been found in the file. To avoid misunderstanding examiner herewith acknowledges once more that all items have been considered (see PTO-1449 form herewith enclosed).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

1. **Claim 7** is rejected under 35 U.S.C. 102(e) as being unpatentable over Wu et al (6,031,856) in view of Yamaguchi et al (6,205,092 B1).

Art Unit: 3663

Wu et al teach a surface-light-emitting device 24 (Figure 2, col. 2, l. 31 – col. 4, l. 25; for 26 see col. 2, l. 55) including a luminescent layer (inherent in VCSEL 26 (col. 2, l. 50 and l. 54) as in any semiconductor laser is a light-emitting layer that emits light when subjected to a voltage, i.e., a luminescent layer, because the driving force of lasing is recombination of electrons and holes accelerated towards each other, the acceleration mechanism being provided by an electric field) and an electrode structure (also inherent in said VCSEL as it is inherent in any semiconductor laser because the electric field is created by means of a voltage difference, and hence two different voltages must needs be provided to the areas abutting the luminescent layer through an electrode structure, i.e., highly conductive terminal), the luminescent layer emitting light as a result of applying a voltage to the electrode structure (inherent, see above),

wherein a shielding layer 32 (col. 2, l. 49-53, being “partially reflective”, hence shielding light) formed in a shape substantially corresponding to a pattern of interference fringes of a hologram is provided at a position outside of the luminescent layer (32 is outside VCSEL 26 hence *a fortiori* outside said luminescent layer, said luminescent layer being inside said VCSEL 26), and wherein the light from the luminescent layer is emitted through the shielding layer 32 (col. 2, l. 55-58).

Wu et al do not necessarily teach said shielding layer to be provided at an abutting position (interpreted to be abutting some object, necessarily within the unitary structure in light of the final limitation of the claim) outside of the luminescent layer and the shielding layer and the luminescent layer are a unitary structure.

However, it would have been obvious to include said further limitation in view of Yamaguchi et al, who, in a patent on an optical package comprising a semiconductor laser, optical sensor and a hologram (col. 1, 6-48 and col. 5, l. 56-67), hence analogous art, teach the semiconductor laser 6a and the shielding layer 6c (as in Wu et al in light of the specification corresponding to holographic element or hologram 32 in Wu et al, while optical sensor 6b corresponds to optical sensor 36 in Wu et al, with said semiconductor layer 26 corresponding to VCSEL 26 in Wu et al) to be in a unitary structure 6 and the shielding layer to be at an abutting position (col. 5, l. 57 – col. 6, l. 45). Motivation to include the teaching by Yamaguchi et al in the device by Wu et al at least derives from the reduction in size of the optical package 6 (see col. 3, l. 42-49).

2. **Claims 8, 9, 14 and 16** are rejected under 35 U.S.C. 103(a) as being unpatentable over Wu et al and Yamaguchi et al as applied to claim 7 above, and further in view of Kozlov et al (6,160,828, cited in previous action).

On claims 8, 9 and 14: As detailed above, claim 7 is unpatentable over Wu et al in view of Yamaguchi et al. Wu et al nor Yamaguchi et al necessarily teach the further limitation as defined by claims 8, 9, or 14.

With regard to claims 8 and 14, it would have been obvious to include said further limitations as defined in claim 8 in view of Kozlov et al, who, in a patent on a vertical; cavity surface emitting laser (VCSEL) (Figure 5, title, abstract, and cols. 5 and 6), hence analogous art, teach a pair of electrode layers 120 and 121 (col. 5, l. 65 – col. 6, l. 3) interposing the luminescent layer 110 (col. 5, l. 52-61) therebetween, and

Art Unit: 3663

wherein one of the electrode layers (either one of 120 and 121, say 120) is formed as a transparent electrode layer (loc.cit.), with the light generated by the luminescent layer emitted in a direction substantially perpendicular to the luminescent layer as a laser beam after carrying out lasing through resonance (thus meeting also claim 14 as a result). Because the shielding layer by Wu et al is provided outside the VCSEL said shielding layer is a fortiori provided outside said one electrode layer also in the combination of the invention by Wu et al and the teaching on Kozlov et al on the electrode structure.

Motivation to include the teaching by Kozlov et al derives from the advantage of achieving maximum surface area of the luminescent layer to be active at minimal voltage difference (because of their short relative distance) between the electrodes. Examiner herewith takes official notice that this motivation is the reason why VCSELs are almost if not always constructed in this manner.

On claim 9: It would furthermore have been obvious to include the limitation as defined by claim 9 also in view of Kozlov et al, who teach a supporting member 113 having transparency (col. 5, l. 48-52) provided to a position inside the VCSEL; in the combined invention this position is outside of the shielding layer 32 (namely: outside the VCSEL 26), and wherein light from the luminescent layer is emitted through said one electrode layer 120 and the supporting member (see Figure 5; loc.cit; see also col. 4, l. 20-25), and, in the combined invention, through the shielding layer 32. *Motivation* to include the teaching by Kozlov et al in the invention by Wu et al in this regard derives from the advantage of transparency of material when light emission must occur through

light transmission through the medium made of said material. In particular, if the supporting member 113 were not transparent light would be absorbed and the light efficiency would be poor if at all finite.

On claim 16: although Wu et al do not necessarily teach the further limitation as defined by claim 16, it would have been obvious to include said further limitation in view of Kozlov et al, who teach to include in the VCSEL 26 a plurality of reflecting mirrors (DBRs 111 and 112; see col. 5, l. 50-61 and col. 4, l. 1-24) each having a reflective plane substantially parallel to the luminescent layer 110 (see Figure 5), wherein the reflecting layers resonate the light generated by the luminescent layer in a direction substantially perpendicular (namely in the emission direction, which is perpendicular to the plane of 110; see Figure 5) to the luminescent layer.(as each reflect a substantial amount of light a substantial amount of light reflected by one DBR is also reflected by the other DBR and hence "resonate" is met and is also a necessary condition for lasing; see, e.g., Fukuda, M., "Optical Semiconductor Devices", pages 165-167). *Motivation* to include the teaching by Kozlov et al in the invention by Wu et al derives from the resulting controllability of the output spectrum (col. 4, l. 8-10).

Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

Art Unit: 3663

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Johannes P. Mondt whose telephone number is 571-272-1919. The examiner can normally be reached on 8:00 - 18:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jack W. Keith can be reached on 571-272-6878. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3663

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

JPM
July 6, 2006


JACK KEITH
SUPERVISORY PATENT EXAMINER